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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/454,978	12/03/1999	PETER E. RAYNER	CITI0128	4487

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[REDACTED]  
EXAMINER

AKERS, GEOFFREY R

ART UNIT	PAPER NUMBER
3624	

DATE MAILED: 02/04/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

	Application 09/454 978	Applicant(s) <i>Royer</i>
	Examiner <i>Alexis G</i>	Art Unit 3624
		Confirmation No.

- The MAILING DATE of this communication appears on the cover sheet beneath the correspondence address -

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, such period shall, by default, expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- Responsive to communication(s) filed on 12/17/02
- This action is FINAL.  This action is non-final.
- Since this application is in condition for allowance except for the formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

## Disposition of Claims

- Claim(s) 1-67 is/are pending in this application.
- Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- Claim(s) \_\_\_\_\_ is/are allowed.
- Claim(s) 1-67 is/are rejected.
- Claim(s) \_\_\_\_\_ is/are objected to.
- Claim(s) \_\_\_\_\_ are subject to restriction or election requirement.

## Application Papers

- The proposed drawing correction, filed on \_\_\_\_\_ is  approved or  disapproved by the Examiner. If approved, corrected drawings are required in reply to this Office action.
- The drawing(s) filed on \_\_\_\_\_ is/are  accepted or  objected to by the Examiner. Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- The specification is objected to by the Examiner.
- The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119 (a)-(d) or (f).

All  Some\*  None of the:

- Certified copies of the priority documents have been received.
- Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
- Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\*Certified copies not received:

- Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  The translation of the foreign language provisional application has been received.

- Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- Information Disclosure Statement(s), PTO-1449, Paper No(s) \_\_\_\_\_
- Notice of References Cited, PTO-892
- Notice of Draftsperson's Patent Drawing Review, PTO-948
- Interview Summary, PTO-413
- Notice of Informal Patent Application, PTO-152
- Other \_\_\_\_\_

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## **DETAILED ACTION**

### ***Response to Amendment***

1. This action is issued in response to applicant's Amendment A(Paper #10) filed 12/17/02.
2. New claims 66-67 were added. No claims were deleted. None were amended.
3. Claims 1-67 are pending.

### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1-67 are rejected under 35 USC 103(a) as unpatentable over Ordish(US Pat. No: 5,727,165) in view of Guterman(US Pat. No: 5,297,031) and further in view of SelectNet/SuperSOES(1994).

6. As per claims 1-67 Ordish teaches a method for data management of a financial transaction(Abstract) which receives a request from a user for a proposed transaction(col 5 line 37-66). Ordish teaches a plurality of trading systems(Fig 1). Ordish teaches a trader's rate quote(col 5 line 65-col 6 line 8) as well as entry at a terminal(keystation)(col 5 lines 40-45) and timed match acknowledgement(Abstract) as well as forming counteroffers which include rejecting an initial offer(col 5 line 67-col 6 line 7) and reporting a trade in a period of time(col 6

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lines 30-32) as well as a quote good for a known period of time(col 7 lines 14-19). Guttermann teaches timed open orders(col 4 lines 18-19) and that a workstation FIFO buffer receives orders from an entry system(col 7 lines 37-52)(col 8 lines 33-37).Guttermann further teaches market, contingency, stop, sell stop,stop limit, market if touched, alternative, scale, and contingent orders and spreads(col 3 line 25-col 4 line 65) in the quote process.Guttermann teaches generating a rate quote consisting of one executable rate quote(col 1 lines 32-36) as well as time-stamping orders(col 2 lines 60-65) as well as orderly execution(col 3 lines 11-30) as well as entry at a terminal through a computer and ending with a printer(col 2 lines 65-68).Selectnet/SuperSOES teaches an order execution system for small as well as large orders(Pages 1-4) where deals are limited to certain sizing requirements where deals in larger sizes can be consummated under SuperSOES with a specified rate quote(Page 1)(Page 2)(Page 5)(Table I).

It would have been obvious to one skilled in the art at the time of the invention to combine Ordish in view of Guttermann to teach the above. The motivation to combine is to teach a system for efficient executions between the trading floor and a plurality of customers as enunciated by Gitterman(col 5 lines 49-55).It would have been obvious to one skilled in the art at the time of the invention to combine Ordish in view of Guttermann and further in view of SOES/SuperSOES to teach the above. The motivation to combine is to teach a system for efficient data managementfor financial transactions and large block/small block trading as depicted by SOES/Super SOES.

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***Response to Arguments***

7. Applicant's arguments with respect to claims 1-67 have been considered but are moot in view of the new ground(s) of rejection.

***Conclusion***

8. **THIS ACTION IS MADE NON-FINAL.**

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9. Any questions concerning this communication should be addressed to the examiner of record, Dr. Geoffrey Akers, P.E., who can be reached between 6:30 AM and 5:00 PM Monday through Friday at 703-306-5844. If attempts to contact the examiner are unsuccessful, the examiner's superior, Mr. Vincent Millin, SPE, may be telephoned at (703)-308-1065.

The fax number for Formal or Official faxes and Draft or Informal faxes to Technology Center 3600 or this Art Unit is (703)-308-3687. Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703)-308-1113.

GRA  
  
February 4, 2003